

MAR. 14. 2003 10:00AM

WATTS, HOFFMAN & FISHER

NO. 317

P. 1

DT17 REC'D PCT/PTO 14 MAR 2003

WATTS, HOFFMANN, FISHER & HEINKE CO., L.P.A.
ATTORNEYS AT LAW

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P.O. Box 99839
Cleveland, Ohio 44199-0839

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TELEPHONE (216) 241-6700
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E-MAIL: IPLAW@WATTSHOFF.COM

FACSIMILE TRANSMITTAL

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|---|--|
| To: | U.S. Patent and Trademark Office |
| Organization: | Initial Patent Examination Filing Receipt Corrections |
| Facsimile No.: | 703-746-9195 |
| From: | Stephen J. Schultz, Esq. |
| Date: | March 14, 2003 |
| Our File No.: | 14-694 (U.S. Serial No. 09/700,606) |
| No. of pages: (including this cover pg.) | 27 |

MESSAGE:

URGENT!

Dear Sir/Madam: The above-identified patent application has been allowed. We have previously submitted six requests for a corrected filing receipt to correct priority information. All requests have gone unanswered and are attached for your reference. Since this case is getting ready for issuance, please forward a corrected filing receipt corresponding to our previous requests as quickly as possible. Obviously, we want to have the patent issue with correct priority information. Thank you for your attention to this matter.

☐ (if checked) A confirmation copy of this transmission will follow via U.S. mail.

CONFIDENTIALITY NOTE

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| Organization: | Filing Receipt (Corrections) |
| Facsimile No.: | 703-746-9195 |
| From: | Steve Schutty |
| Date: | 11/5/03 |
| Our File No.: | 14-694- |
| No. of pages: (including this cover pg.) | 9 |

MESSAGE:

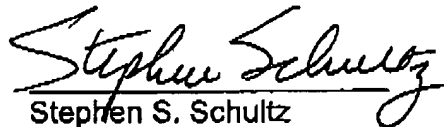
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A copy of the original filing receipt is enclosed which shows the necessary corrections. A corrected filing receipt is again respectfully requested.

Respectfully submitted,

Date: Nov 5, 2002


Stephen S. Schultz
Reg. No. 29,108

Telephone: 216-241-6700
Facsimile: 216-241-8151

* * * TRANSMISSION RESULT REPORT (JAN. 6. 2003 2:07PM) * * *

TTI WATTS, HOFFMAN & FISHER

| DATE | TIME | ADDRESS | MODE | TIME | PAGE | RESULT | PERS. NAME | FILE |
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| JAN. 6. | 2:06PM | | USPTO TES | 1'04" | P. 3 | OK | | 053 |

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MAR.14.2003 10:02AM

WATTS, HOFFMAN & FISHER

NO.317: P.5

TRANSMISSION RESULT REPORT (NOV 05 '02 03:57PM)

WA, HOFFMAN & FISHER

(AUTO)

THE FOLLOWING FILE(S) ERASED

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PAGE RESULT

09 OK

ERRORS

1) HANG UP OR LINE FAIL 2) BUSY 3) NO ANSWER 4) NO FACSIMILE CONNECTION

PATENT APPLICATION

Applicant(s): Lisa M. Daynard et al Attorney Docket No.: 14694
Title: Method for determining a patient's genetic predisposition to a disease Client: 4254
Serial No.: 08/000000 Filed: 11/11/01 Patent No.:
Mailing Date: 8/19/02 Initials: 11/11

Receipt is hereby acknowledged of the following:

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| <input type="checkbox"/> Transmittal (____ pages) | <input type="checkbox"/> Assignment(s) (____ pages) |
| <input type="checkbox"/> Provisional Application for Patent Cover Sheet | <input type="checkbox"/> Assignment Cover Sheet(s) (____ pages) |
| <input type="checkbox"/> Request for Filing a Patent Application under 37 CFR 1.53 (b) (____ pages) | <input type="checkbox"/> Small Entity Statement (____ pages) |
| <input type="checkbox"/> Request for Filing a Patent Application under 37 CFR 1.53 (d) (____ pages) | <input type="checkbox"/> Number of Priority Document(s) |
| <input type="checkbox"/> Patent Application (____ total pages) | <input type="checkbox"/> Response to Notice to File Missing Parts (____ pages) |
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| <input type="checkbox"/> Continuation, <input type="checkbox"/> Divisional, <input type="checkbox"/> SIP | <input type="checkbox"/> Information Disclosure Statement (____ pages) |
| <input type="checkbox"/> PCT, <input type="checkbox"/> _____ | <input type="checkbox"/> PTO Form 1449 (____ pages) |
| ____ cover page | <input type="checkbox"/> Number of Documents |
| ____ pages of specification | <input type="checkbox"/> Petition for a ____ Month Extension of Time |
| ____ pages of number of claims | <input type="checkbox"/> Preliminary Amendment (____ pages) |
| ____ pages of abstract | <input type="checkbox"/> Amendment (____ pages) |
| <input type="checkbox"/> Drawings (____ sheets) | <input type="checkbox"/> Notice of Appeal (____ pages) |
| <input type="checkbox"/> Declaration(s) with Power of Attorney (____ pages) | <input type="checkbox"/> Appeal Brief in Triplicate (____ pages each) |
| <input type="checkbox"/> Check(s) in Amount of \$ _____ | <input type="checkbox"/> Issue Fee Transmittal PTO-85B & Copy |
| | <input type="checkbox"/> Maintenance Fee Transmittal (____ pages) |
| | <input type="checkbox"/> Request for Continued Examination |

2nd Review for Consistent Filing Receipt - 2/24/03
Attachments

U.S. PATENT & TRADEMARK OFFICE
MAR 26 2002

PATENT
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION: Usama Fayyad et al.

Serial No. 09/700,606

Filed: January 31, 2001

Title: SCALABLE SYSTEM FOR CLUSTERING OF LARGE DATABASES HAVING
MIXED ATTRIBUTES

Docket No. 14-694 - 4254

WATTS, HOFFMANN, FISHER
& HEINKE, CO., L.P.A.
1100 Superior Avenue, Ste. 1750
Cleveland, Ohio 44114

Assistant Commissioner for Patents
Office of Initial Patent Examination's
Customer Service Center
Washington, D.C. 20231

SECOND REQUEST FOR CORRECTED FILING RECEIPT

Sir:

Applicant's attorney filed a request for a corrected filing receipt on February 7, 2002.
To date, a corrected filing receipt has not yet been received.

As evidenced by the enclosed copy of page one of the specification, specifically, the first two paragraphs which have been highlighted for your convenience, and the enclosed copy of the Declaration and Power of Attorney, the correct domestic priority data as claimed by applicant should read as follows:

THIS APPLICATION IS A 371 OF PCT/US99/06717 03/29/1999

WHICH IS A CIP OF 09/083,906 05/22/1998

WHICH CLAIMS BENEFIT OF 60/086,410 05/22/1998.

I hereby certify that this request is being deposited with the
U.S. Postal Service as First Class Mail addressed to the
Assistant Commissioner of Patents, Washington, D.C. 20231

on

By:

A copy of the original filing receipt is enclosed which shows the necessary corrections.
A corrected filing receipt is respectfully requested.

Respectfully submitted,

Date: Aug 15, 2002.

Stephen S. Schultz
Stephen S. Schultz
Reg. No. 29,108

Telephone: 216-241-6700
Facsimile: 216-241-8151

PATENT APPLICATION

Applicant(s): Douglas et al.

Title: Scale and system data distribution

Serial No.: 09/700,000 Filed: 11/31/01 Patent No.: _____

Mailing Date: 3/7/02 Initials: HA

Receipt is hereby acknowledged of the following:

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| ____ pages of specification | <input type="checkbox"/> Petition for a ____ Month Extension of Time |
| ____ pages of ____ number of claims | <input type="checkbox"/> Preliminary Amendment (____ pages) |
| ____ pages of abstract | <input type="checkbox"/> Amendment (____ pages) |
| <input type="checkbox"/> Drawings (____ sheets) | <input type="checkbox"/> Notice of Appeal (____ pages) |
| <input type="checkbox"/> Declaration(s) with Power of Attorney (____ pages) | <input type="checkbox"/> Appeal Brief in Triplicate (____ pages each) |
| <input type="checkbox"/> Check(s) in Amount of \$ _____ | <input type="checkbox"/> Issue Fee Transmittal PTOL-85B & Copy |
| | <input type="checkbox"/> Maintenance Fee Transmittal (____ pages) |
| | <input type="checkbox"/> Request for Continued Examination |

☒ Request for Conversion of this application

☐ with attachments

U.S. PATENT & TRADEMARK OFFICE
MAR 22 2002

**PATENT
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

IN RE APPLICATION: Usama Fayyad et al.

Serial No. 09/700,606

Filed: January 31, 2001

Title: SCALABLE SYSTEM FOR CLUSTERING OF LARGE DATABASES HAVING
MIXED ATTRIBUTES

Docket No. 14-694 - 4254

WATTS, HOFFMANN, FISHER
& HEINKE, CO., L.P.A.
1100 Superior Avenue, Ste. 1750
Cleveland, Ohio 44114

Assistant Commissioner for Patents
Office of Initial Patent Examination's
Customer Service Center
Washington, D.C. 20231

REQUEST FOR CORRECTED FILING RECEIPT

Sir:

As evidenced by the enclosed copy of page one of the specification, specifically, the first two paragraphs which have been highlighted for your convenience, and the enclosed copy of the Declaration and Power of Attorney, the correct domestic priority data as claimed by applicant should read as follows:

THIS APPLICATION IS A 371 OF PCT/US99/06717 03/29/1999

WHICH IS A CIP OF 09/083,906 05/22/1998

WHICH CLAIMS BENEFIT OF 60/086,410 05/22/1998

RECEIVED BY THE UNITED STATES PATENT AND TRADEMARK OFFICE
U.S. Postal Service on 03/14/2003 Mr. [Name] to the
Assistant Commissioner for Patents, Washington, D.C. 20231

on

by

A copy of the original filing receipt is enclosed which shows the necessary corrections. A corrected filing receipt is respectfully requested.

Respectfully submitted,

Date: Feb 7, 2002

Stephen S. Schultz
Stephen S. Schultz
Reg. No. 29,108

Telephone: 216-241-6700
Facsimile: 216-241-8151

PATENT APPLICATION

Applicant(s): U.S. MA. Sainyad et al.

Title: Method for determining the probability of a patent being granted

Serial No.: 091700666 Filed: 11/10/02 Patent No.: 7251

Mailing Date: 11/10/02 Initials: W/F

Receipt is hereby acknowledged of the following:

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| <input type="checkbox"/> Request for Filing a Patent Application | <input type="checkbox"/> Small Entity Statement (____ pages) |
| <input type="checkbox"/> Request for Filing a Patent Application under 37 CFR 1.53 (b) (____ pages) | <input type="checkbox"/> Number of Priority Document(s) |
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| <input type="checkbox"/> PCT, <input type="checkbox"/> <u>cover page</u> | <input type="checkbox"/> PTO Form 1449 (____ pages) |
| <u>pages of specification</u> | <input type="checkbox"/> Number of Documents |
| <u>pages of number of claims</u> | <input type="checkbox"/> Request for a ____ Month Extension of Time |
| <u>pages of abstract</u> | <input type="checkbox"/> Preliminary Amendment (____ pages) |
| <input type="checkbox"/> Drawings (____ sheets) | <input type="checkbox"/> Amendment (____ pages) |
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| <input type="checkbox"/> Check(s) in Amount of \$ _____ | <input type="checkbox"/> Appeal Brief in Triplicate (____ pages each) |

☐ Issue Fee Transmittal PTO-65B & Copy

☐ Maintenance Fee Transmittal (____ pages)

☐ Request for Continued Examination

☒ Status of Continued Examination Receipt

☒ Attachments - 10 pages

U.S. PATENT & TRADEMARK OFFICE
JAN 7 9 2002

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE PATENT APPLICATION:

Usama Fayyad et al.

Serial No.: 09/700,606 Group Art Unit: 2121

Filed: January 31, 2001 Examiner: Not yet assigned

Title: SCALABLE SYSTEMS FOR CLUSTERING OF
LARGE DATABASES HAVING MIXED ATTRIBUTES

Docket No.: 14-694 - 4254

Watts, Hoffmann, Fisher
& Heinke Co., L.P.A.
1100 Superior Ave., Ste. 1750
Cleveland, OH 44114
(216) 241-6700 - telephone
(216) 241-8151 - facsimile

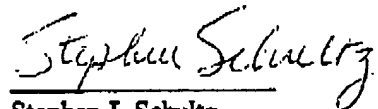
Assistant Commissioner for Patents
Office of Initial Patent Examination's
Customer Service Center
Washington, D. C. 20231

STATUS REQUEST REGARDING CORRECTED FILING RECEIPT

Dear Sir:

A request for a corrected filing receipt was filed in the U.S. Patent Office on June 1, 2001, a copy of the submitted documents are enclosed. It is respectfully requested that the Patent and Trademark Office indicate when it will issue a corrected filing receipt.

Respectfully submitted,



Stephen J. Schultz
Reg. No. 29,108

Date Jan 7, 2002

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U.S. Postal Service
Assistant Commissioner of Patents, Washington, D.C. 20231

cc

B73

14-604
2014

Attorney Docket No.:
Client:

PATENT APPLICATION

Applicant(s): Tissina Jayward et al
 Title: Device for mixed media
 Serial No.: 0179746 Filed: 11/1/01 Patent No.: 7,300,014
 Mailing Date: 6/1/01 Initials: MB

Receipt is hereby acknowledged of the following:

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☒ Request for Admission of Invention Receipt
☐ and acknowledgment

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 SUITE 1750
 1100 SUPERIOR AVENUE
 CLEVELAND, OHIO 44114-2518

A Scalable System for Clustering of Large Databases Having Mixed Data Attributes

Cross Reference to Related Applications

The present invention is a continuation in part of co-pending United States
5 patent application serial number 09/083,906 entitled "A Scalable System for
Expectation Maximization Clustering of Large Databases" to Fayyad et al having a
filing date of May 22, 1998, and which is assigned to the assignee of the present
application and is incorporated herein by reference.

Priority is claimed from provisional United States patent application serial
10 number 60/086,410 filed May 22, 1998.

Field of the Invention

The present invention concerns database analysis and more particularly
concerns an apparatus and method for clustering of data into groups that capture
15 important regularities and characteristics of the data.

Background Art

Large data sets are now commonly used in most business organizations. In
fact, so much data has been gathered that asking even a simple question about the data
20 has become a challenge. The modern information revolution is creating huge data
stores which, instead of offering increased productivity and new opportunities, can
overwhelm the users with a flood of information. Tapping into large databases for
even simple browsing can result in a return of irrelevant and unimportant facts. Even
people who do not 'own' large databases face the overload problem when accessing
25 databases on the Internet. A large challenge now facing the database community is
how to sift through these databases to find useful information.

Existing database management systems (DBMS) perform the steps of reliably
storing data and retrieving the data using a data access language, typically SQL. One
major use of database technology is to help individuals and organizations make
30 decisions and generate reports based on the data contained in the database.

An important class of problems in the areas of *decision support* and *reporting*
are clustering (segmentation) problems where one is interested in finding groupings
(clusters) in the data. Data clustering has been used in statistics, pattern recognition,

Attorney's Docket No. 14-694Patent

DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION

As a below-named inventor, I hereby declare that:

My residence, post office address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

A SCALABLE SYSTEM FOR CLUSTERING OF LARGE DATABASES MIXED DATA ATTRIBUTES

the specification of which:

_____ is attached hereto.
_____ was filed on _____ as United States Patent Application Number _____ and was amended on _____ (if applicable).
X was filed on March 29, 1999 as PCT International Application Number PCT/US99/06717.

I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose to the United States Patent and Trademark Office information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, § 1.56. Under that section, information is material to patentability when it is not cumulative to information already of record or being made of record in the application, and (1) it establishes, by itself or in combination with other information, a prima facie case of unpatentability of a claim; or (2) it refutes, or is inconsistent with, a position the applicant takes in: (i) opposing an argument of unpatentability relied on by the United States Patent and Trademark Office, or (ii) asserting an argument of patentability.

I hereby claim foreign priority benefits under Title 35, United States Code, § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT international application(s) which designated at least one country other than the United States, listed below. I have also identified below any corresponding foreign application(s) for patent or inventor's certificate or any corresponding PCT international application(s) having a filing date before that of the application(s) on which priority is claimed.

Prior Foreign Application(s)

| Number | Country | Filing Date (mm/dd/yyyy) | Priority Claimed (Yes or No) |
|----------------|---------|-----------------------------|---------------------------------|
| PCT/US99/06717 | PCT | 29 March 1999 | Yes |
| | | | |

EXPRESS MAIL LOG No. 92391520593US
I hereby certify that this paper is being deposited with the U.S. Postal Service as Express Mail addressed to the Assistant Commissioner for Patents, Washington, D.C. 20230.

on 11/15/00
by Moses B. Gupta

[Page 1 of 3]

I hereby claim the benefit under Title 35, United States Code, § 119(e) of any United States provisional application(s) listed below.

United States Provisional Application(s)

| Application Number | Filing Date (mm/dd/yyyy) |
|--------------------|-----------------------------|
| 60/086,410 | May 22, 1998 |
| | |

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) or § 365(e) of any PCT international application(s) designating the United States, listed below. Insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application(s) in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose to the United States Patent and Trademark Office information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, § 1.56 which became available between the filing date of the prior application(s) and the national or PCT international filing date of this application.

United States Application(s) Upon Which Priority is Claimed

| Application Number | Filing Date (mm/dd/yyyy) | Status (abandoned, pending, patent number) |
|--------------------|-----------------------------|---|
| 09/083,906 | May 22, 1998 | Pending |
| | | |

I hereby appoint the following attorney(s) and/or agent(s), all of whom are associated with Watts, Hoffmann, Fisher & Heinke Co., L.P.A., having offices at 1100 Superior Avenue East, Suite 1750, Cleveland, Ohio 44114-2518, to prosecute this application and to transact all business in the United States Patent and Trademark Office connected therewith:

Thomas E. Fisher, Reg. No. 18,271
 Stephen J. Schultz, Reg. No. 29,108
 Lowell L. Heinke, Reg. No. 19,471
 John R. Hlavka, Reg. No. 29,076
 George L. Pinchak, Jr., Reg. No. 37,697

Linn J. Raney, Reg. No. 23,078
 Paul A. Serbinowski, Reg. No. 34,429
 Richard A. Sharpe, Reg. No. 34,722
 James G. Watterson, Reg. No. 20,180
 Peter R. Hagerty, Reg. No. 42,618
 Kenneth J. Smith, Reg. No. 45,115

and the following attorney(s), all of whom are associated with Microsoft Corporation having an address of One Microsoft Way, Redmond, Washington 98052-6399;

Daniel D. Crouse, Reg. No. 32,022 Katie E. Sako, Reg. No. 32,628

to prosecute this application and to transact all business in the United States Patent and Trademark Office connected therewith, and I hereby designate the foregoing Stephen J. Schultz, Reg. No. 29,108, principal attorney.

This appointment shall include all power to prosecute and transact all business relating to all applications corresponding to this application in all countries, including all regional and international patent offices, such as, but not limited to, the European Patent Office and all offices and bureaus established in accordance with the Patent Cooperation Treaty.

I hereby further designate and appoint any officer of Watts, Hoffmann, Fisher & Heinke Co., L.P.A. my attorney in fact with full power of substitution and revocation, including power to designate a substitute principal attorney.

Address all correspondence to:

WATTS, HOFFMANN, FISHER & HEINKE CO., L.P.A.
1100 Superior Ave., Ste. 1750
Cleveland, Ohio 44114-2518

Direct all telephone calls to Stephen J. Schultz at (216) 241-6700 and direct all facsimile correspondence to (216) 241-8151.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under § 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of this application or any patent issued thereon.

| | |
|---|---------------------------------------|
| Full Name of Sole or First Joint Inventor: Usama Fayyad | |
| Inventor's Signature: | Date: |
| Residence: Mercer Island, Washington | Citizenship: United States of America |
| Post Office Address: 9705 SE 43 rd Street, Mercer Island, WA 98040 | |

| | |
|---|---------------------------------------|
| Full Name of Second Joint Inventor: Paul S. Bradley | |
| Inventor's Signature: | Date: |
| Residence: Seattle, Washington | Citizenship: United States of America |
| Post Office Address: 600 Lake Washington Blvd., East, Apt #C, Seattle, WA 98112 | |

| | |
|--|---------------------------------------|
| Full Name of Third Joint Inventor: Cory A. Reina | |
| Inventor's Signature: | Date: |
| Residence: Kirkland, Washington | Citizenship: United States of America |
| Post Office Address: 12107 86 th Avenue, NE, Kirkland, WA 98034 | |



UNITED STATES PATENT AND TRADEMARK OFFICE

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| APPLICATION NUMBER | FILING DATE | GRP ART UNIT | FIL FEE REC'D | ATTY. DOCKET NO. | DRAWINGS | TOT CLAIMS | IND CLAIMS |
|--------------------|-------------|--------------|---------------|------------------|----------|------------|------------|
| 09/700,606 | 01/31/2001 | 2121 | 1152 | 14-694-4254 | 8 | 34 | 4 |

CONFIRMATION NO. 8142

FILING RECEIPT



0000000005992681

Watts Hoffman Fisher & Heinke Company
Suite 1750
1100 Superior Avenue
Cleveland, OH 44114-2518

APR 27 2001

Date Mailed: 04/24/2001

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Applicant(s)

Usama Fayyad, Mercer Island, WA;
Paul S. Bradley, Seattle, WA;
Cory A. Reina, Kirkland, WA;

Domestic Priority data as claimed by applicant

THIS APPLICATION IS A 371 OF PCT/US99/06717 03/29/1999
WHICH IS A CIP OF 60/083,906 05/01/1998
WHICH CLAIMS BENEFIT OF 60/086,410 05/22/1998

Foreign Applications

Projected Publication Date: N/A

Non-Publication Request: No

Early Publication Request: No

Title

Scalable system for clustering of large databases having mixed data attributes

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WATTS, HOFFMAN & FISHER

NO.317

P.22

Page 2 of 4

Preliminary Class
700

Data entry by : NGUYEN, SON

Team : OIPE

Date: 04/24/2001

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PATENT APPLICATION

Attorney Docket No.: 14-694

Client: 14-694

Applicant(s): Tisama Jayward et al

Title: Scalable Method of Mixed Membership

Serial No.: 09/107,424

Filed: 11/31/01

Patent No.:

Mailing Date: 6/1/01

Initials: MB

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Projected Publication Date: N/A

Non-Publication Request: No

Early Publication Request: No

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Scalable system for clustering of large databases having mixed data attributes

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